

JAN 17 2002

Docket No. 13761-7024

**Certificate of Mailing/Transmission (37 C.F.R. § 1.8(a)):**

[X] Pursuant to 37 C.F.R. § 1.8, I hereby certify that this paper and all enclosures are being deposited with the United States Postal Service as first class mail on the date indicated below in an envelope addressed to the Assistant Commissioner for Patents, Washington D.C. 20231.

[ ] Pursuant to 37 C.F.R. § 1.6(d), I hereby certify that this paper and all enclosures are being sent via facsimile on the date indicated below to the attention of Examiner \_\_\_\_\_ at Facsimile No. \_\_\_\_\_ at \_\_\_\_\_ a.m./p.m.

Dated: November 14, 2001

Name of Person Certifying: \_\_\_\_\_

Printed Name: LAER BARRETT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant: Lin, et al.

Assignee: University of  
Southern California

Filing Date: 08/01/2001

Examiner: Unassigned

Serial No.: 09/920,342

Group Art Unit: 1653

Title: **GENE SILENCING USING mRNA-cDNA HYBRIDS**

BOX MISSING PARTS

Assistant Commissioner for Patents

Washington, D.C. 20231

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**Submission of Missing Parts of Application Under 37 C.F.R. 1.53**

Sir:

In response to the Notice to File Missing Parts of Nonprovisional Application mailed on August 28, 2001, enclosed are the following items for filing in the above-referenced U.S. Patent Application:

- ☒ Declaration and Power of Attorney [3] page(s)  
Payment for surcharge for late filing ☒ \$65.00 *small entity* ☐ \$130.00 *large entity*
- ☒ a paper copy of the "Sequence Listing" (\_\_\_ pages.);  
a copy of the "Sequence Listing" in computer readable form on a:  
[X] 3½ inch floppy disk [ ] 5¼ inch floppy disk; [ ] CD Rom DVD
- ☒ Statement Under 37 C.F.R. §1.821(f).
- ☒ a Preliminary Amendment directing entry of the Sequence Listing into the specification;
- ☐ A Petition for Extension of Time. (\_\_\_ months), [ ] page(s) Fee \$ \_\_\_\_\_
- ☒ Applicant(s) claim Small Entity Status under 37 CFR § 1.27.



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/920,342	08/01/2001	Shi-Lung Lin	13761-7024

CONFIRMATION NO. 4134

## FORMALITIES LETTER



\*OC00000006483949\*

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Rajiv Yadav  
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18th Floor  
Three Embarcadero Center  
San Francisco, CA 94111

Date Mailed: 08/28/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

## Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 355 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
  - Total additional claim fee(s) for this application is \$225.  

01 FC:201	370.00 OP
02 FC:205	65.00 OP
03 FC:203	210.00 OP
15.00 CH	

    - \$225 for 25 total claims over 20.
  - The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
  - To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
  - The balance due by applicant is \$ 645.
- This application clearly fails to comply with the requirements of 37 C.F.R. 1.821-1.825. Applicant's attention is directed to the final rulemaking notice published at 55 FR 18230 (May 1, 1990), and 1114 OG 29 (May 15, 1990). If the effective filing date is on or after July 1, 1998, see the final rulemaking notice published at 63 FR 29620 (June 1, 1998) and 1211 OG 82 (June 23, 1998). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing", an initial paper or compact disc copy of the "Sequence Listing", as well as an amendment directing its entry into the application. Applicant must also provide a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file